ANNUAL SURVEILLANCE

Module 6

Overview

- Command Oversight
- Why Annual Surveillances
- What We Look At
- A/OPC Responsibilities
- AO Responsibilities
- How The AO Conducts A Surveillance
- Documentation
- Document Retention
- C.A.R.E. Training
- What To Know

September

Command Oversight

- GAO Audit conducted AF-wide 2001-2002
  - Unauthorized purchases
  - Card Abuse
  - Split Purchases
  - Improper Internal Controls

Why Annual Surveillances?

- Ensure AFI 64-117 authorizations, purchases and documentation are being followed properly.
- Ensure C.A.R.E. is being fully utilized properly.

What We Look At

- Receipts
- IT/NSS (formerly known as CSRDs)
- Waivers
- Over $2,500 single purchase limit:
  - Cost Comparison with GPC Approval
  - DD 1057 Transaction Data letter
- C.A.R.E.:
  - Transaction Log
  - Transactions
  - Cardholder Accounts

Agency/Organization Program Coordinator's (A/OPC) Requirements

- Surveillance will be accomplished on each approving official (AO) at least every 12 months
- A random sampling of 25% of cardholders assigned to the AO shall also be reviewed
- 100% of the checkwriter accounts assigned to the AO shall also be reviewed
- Follow-up letter signed by 10 MSG/LGC Chief, Contracting Division; sent to AO's commander with a copy of findings and recommendations

Approving Official's (AO) Requirements

- 100% of the remaining cardholder (CH) accounts at least every 12 months within 30 days of A/OPC surveillance
- 100% of check writer (CW) accounts every quarter
- Newly appointed CHs/CWs may be actively reviewed by the AO during the first 3 months
- If violation found, contact GPC Office immediately for possible remedies.

How The AO Conducts A Surveillance

- Use the checklist located at http://www.usafa.af.mil/lg/lgc/govtcard , under the “Surveillance” link for AO and CH
- Retain the completed checklist with other GPC documentation and have available for review by the A/OPC during the next year’s surveillance of the AO.

Documentation

- Funding Document
- Source Document/Request
- Receipts
- Waivers
- IT/NSS (formerly known as CSRDS)
- Cost Comparison and DD 1057
- Cardholder’s Statement of Questioned Item (CSQI) – when a purchase is disputed
- Monthly Statement (all prior to April 2003)

Document Retention

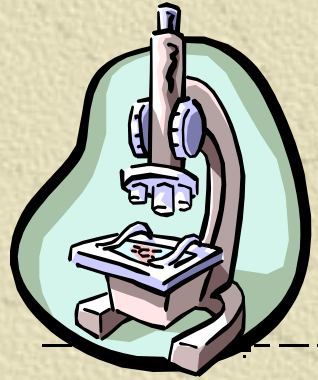
- CH retains all individual transaction support documentation for three years after final payment
- Upon CH account termination, AO retains all CH transaction support documentation for three years
- Upon CH or AO account termination, A/OPC retains account setup documentation for two years after the account is cancelled
- USBank retains electronic data for six years and three months

C.A.R.E. Training

- AOs
  - Shown CHs inputs/responsibilities
  - How to check remaining 4009 amounts
  - AO’s C.A.R.E. responsibilities
- CHs
  - One-on-one C.A.R.E. training is given to the surveilled CH/CW for all required inputs and approvals

What To Know

- **Know AFI 64-117, especially paragraphs**
  - **4.3.3.6 – GPC Surveillance Requirements**
  - **4.3.4.1.5 – AO Surveillance of CH**
  - **3.6.1.5 – AO Surveillance of CW**
- **C.A.R.E Responsibilities**



ONE MORE TIME! THE “EYES” HAVE IT!

- Large Dollar Purchases (Above $2,500)
- Appearance of Split Purchases
- Purchases Exceeding $2,500 Annually to the Same Vendor
- Source Rotation
- Sales Taxes Paid

Summary

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Module Quiz

- Why is so much attention being given to the GPC program?
- What document mandates that the A/OPC conduct surveillances?
- What are some of the documents that you will be expected to produce during a surveillance?

Module Quiz

- How often does the A/OPC perform surveillances with Approving Officials (AO) and what percentage of the AO's cardholders will be surveilled during the visit? What percentage of checkwriters?
- Who is the AO responsible to surveil?
- What checklist is used by all surveillers?
- How long is all GPC purchase documentation to be retained?

Module Quiz

- Why is it important to use the C.A.R.E. system to its fullest extent?
- What document should you refer to when preparing for a GPC surveillance visit?